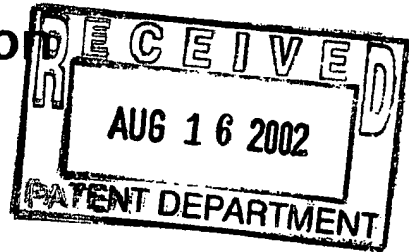


Facsimile Transmission

*This company uses RightFAX® fax
server software from RightFAX, Inc.*



From: Name: USPTO ASSIGNMENT DIVISION
Fax Number:
Voice Phone: 703-308-9723

To: Name: NOVARTIS CORPORATION
Company: THOMAS HOXIE
Fax Number: 13012584620
Voice Phone:

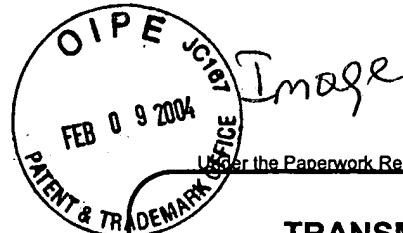
Fax Notes:

Pg#	Description
1	Cover Page
2	205.TXT
4	Document 1, Batch 221090

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1653

PTO/SB/21 (08-03)

Approved for use through 08/30/2003. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

12

Application Number

10/081,961

Filing Date

February 22, 2002

First Named Inventor

Lori Clarke

Art Unit

1653

Examiner Name

Not yet known

Attorney Docket Number

GTI 005.1US

ENCLOSURES (Check all that apply)

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance communication to Technology Center (TC)
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Terminal Disclaimer	<input checked="" type="checkbox"/> Other Enclosure(s) (please Identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Request for Refund	Copy of Notice of Recordation of Assignment Docs; Copy of recently filed Assignment; Statement
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Certified Copy of Priority Document(s)	Remarks	
<input type="checkbox"/> Response to Missing Parts/Incomplete Application		
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Linda R. Judge, Registration No. 42,702
Signature	
Date	2/5/04

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name	Maria Chuakay		
Signature		Date	2/5/04

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



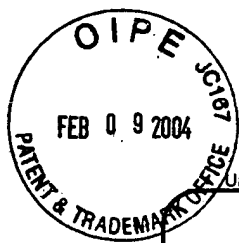
TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	Please See Attached	
	Filing Date	Please See Attached	
	First Named Inventor	Please See Attached	
	Art Unit	Please See Attached	
	Examiner Name	Please See Attached	
Total Number of Pages in This Submission	27	Attorney Docket Number	GTI - General

ENCLOSURES (Check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance communication to Technology Center (TC) <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): PTO-1595, Assignments, Postcard and Exhibit A
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT		
Firm or Individual name	Linda R. Judge, Registration No. 42,702 Cell Genesys, Inc.	
Signature		
Date	11/25/03	

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Typed or printed name	Maria Chuakay	
Signature		Date 11/25/03

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**REVOCATION OF POWER OF
ATTORNEY WITH
NEW POWER OF ATTORNEY
AND
CHANGE OF CORRESPONDENCE ADDRESS**

Application Number	10/081,961
Filing Date	February 22, 2002
First Named Inventor	Lori Clarke
Art Unit	1653
Examiner Name	Not yet known
Attorney Docket Number	GTI 005.1US

I hereby revoke all previous powers of attorney given in the above-identified application.

☐ A Power of Attorney is submitted herewith.

OR

☒ I hereby appoint the practitioners associated with the Customer Number: 30539 and 24353

☒ Please change the correspondence address for the above-identified application to:

☒ The address associated with
Customer Number:

24353

OR

☐ Firm or
Individual Name

Address

Address

City

State

Zip

Country

Telephone

Fax

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

SIGNATURE of Applicant or Assignee of Record

Name Robert H. Tidwell, Senior Vice President

Signature

Date

2-5-04

Telephone

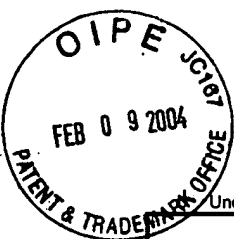
(650) 266-3053

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.

☒ *Total of 3 forms are submitted.

This collection of information is required by 37 CFR 1.36. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: L. Clarke, M. Gorziglia, P. Hallenbeck, J. Jakubczak, M. Kaleko, S. Phipps

Application No./Patent No.: 10/081,961 Filed/Issue Date: February 22, 2002

Entitled: Novel Vector Constructs

Cell Genesys, Inc. _____, a Delaware

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or

2. ☐ an assignee of less than the entire right, title and interest.

The extent (by percentage) of its ownership interest is _____ %
in the patent application/patent identified above by virtue of either:

A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: Lori Clarke, et al. To: Novartis AG

The document was recorded in the United States Patent and Trademark Office at
Reel 012992, Frame 0289, or for which a copy thereof is attached.

2. From: _____ To: _____

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Reel _____, Frame _____, or for which a copy thereof is attached.

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Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☒ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

1-30-04

Date

(650) 266-3053

Telephone number

Robert H. Tidwell

Typed or printed name

Robert H. Tidwell

Signature

Senior Vice President

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Date Mailed: **November 25, 2003** | Atty/Sec: **LRJ/mc** | Filing Date: **Please see attached.**

Application No.: **Please see attached.** | Docket No.: **GTI-General**

Applicant(s): **Please see attached.**

Title: **PLEASE SEE ATTACHED.**

Please imprint Patent Office "date stamp" hereon to indicate receipt and return card to addressee.

- | | |
|--|--|
| <input type="checkbox"/> ___ pages of Specification, Claims & Abstract | <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122(b)(2)(B)(i). |
| <input type="checkbox"/> ___ sheets of formal drawings | <input type="checkbox"/> Response to Notice Of Missing Parts |
| <input type="checkbox"/> Provisional Application Cover Sheet | <input type="checkbox"/> Request to Correct Filing Receipt |
| <input type="checkbox"/> New Utility Application Transmittal | <input type="checkbox"/> Request for Correction of Recorded Assignment |
| <input type="checkbox"/> Transmittal | <input type="checkbox"/> IDS, PTO-1449, and cited references |
| <input type="checkbox"/> Fee Transmittal (in duplicate) | <input type="checkbox"/> Issue Fee Transmittal |
| <input type="checkbox"/> Declaration (unsigned) | <input type="checkbox"/> Formal Drawings: ___ sheets |
| <input type="checkbox"/> Assignment & Recordation Cover Sheet | <input type="checkbox"/> Request for Certificate of Correction |
| <input type="checkbox"/> CPA Request Transmittal | <input type="checkbox"/> Notice of Appeal |
| <input type="checkbox"/> Application Data Sheet | <input type="checkbox"/> Express Mail No.: |
| <input type="checkbox"/> Check in the amount of \$ | |
| <input type="checkbox"/> Amendment/Response | |

Other: **PTO-1595, Assignments, Postcard and Exhibit A**

Date Mailed: **November 25, 2003** | Atty/Sec: **LRJ/mc** | Filing Date: **Please see attached.**

Application No.: **Please see attached.** | Docket No.: **GTI-General**

Applicant(s): **Please see attached.**

Title: **PLEASE SEE ATTACHED.**

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| <input type="checkbox"/> ___ pages of Specification, Claims & Abstract | <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122(b)(2)(B)(i). |
| <input type="checkbox"/> ___ sheets of formal drawings | <input type="checkbox"/> Response to Notice Of Missing Parts |
| <input type="checkbox"/> Provisional Application Cover Sheet | <input type="checkbox"/> Request to Correct Filing Receipt |
| <input type="checkbox"/> New Utility Application Transmittal | <input type="checkbox"/> Request for Correction of Recorded Assignment |
| <input type="checkbox"/> Transmittal | <input type="checkbox"/> IDS, PTO-1449, and cited references |
| <input type="checkbox"/> Fee Transmittal (in duplicate) | <input type="checkbox"/> Issue Fee Transmittal |
| <input type="checkbox"/> Declaration (unsigned) | <input type="checkbox"/> Formal Drawings: ___ sheets |
| <input type="checkbox"/> Assignment & Recordation Cover Sheet | <input type="checkbox"/> Request for Certificate of Correction |
| <input type="checkbox"/> CPA Request Transmittal | <input type="checkbox"/> Notice of Appeal |
| <input type="checkbox"/> Application Data Sheet | <input type="checkbox"/> Express Mail No.: |
| <input type="checkbox"/> Check in the amount of \$ | |
| <input type="checkbox"/> Amendment/Response | |

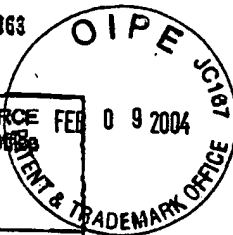
Other: **PTO-1595, Assignments, Postcard and Exhibit A**



08/16/2002
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T-773 P.02/05 Job-963

FORM PTO-1595
(Rev. 6-83)

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U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

OMB No. 0651-0011 (exp. 4/94)

PATENTS ONLY

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Lori CLARKE; Mario GORZIGLIA; Paul L.
HALLENBECK; John Leonard JAKUBCZAK;
Michael KALEKO; Sandra PHIPPSAdditional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other _____

Execution Date: 7/2/02; 7/19/02; 5/14/02; 7/3/02; 7/1/02;7/2/02

2. Name and address of receiving party(ies)

Name: Novartis AG

Internal Address: _____

Street Address: Schwarzwaldallee 215City: Basel State: Switzerland ZIP: 4058Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s)

10/081,961

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Thomas HoxieInternal Address: Novartis CorporationPatent and Trademark Dept.Street Address: 664 Morris AvenueCity: Summit State: NJ ZIP: 07901-10276. Total number of applications and patents involved: 17. Total fee (37 CFR 3.41) \$ 40☐ Enclosed☒ Authorized to be charged to deposit account and any other additional fees required.

8. Deposit account number:

19-0134 (in the name of Novartis Corporation)

(Attach duplicate copy of this page if paying by deposit account)

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

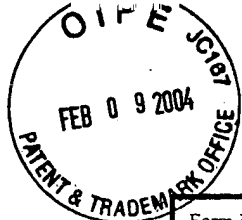
J. Timothy MeigsName of Person Signing
Reg. No. 38,241

Signature

August 16, 2002

Date

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Washington, D.C. 20231



Form PTO-1595
(Rev. 10/02)

OMB No. 0651-0027 (exp. 6/30/2005)

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U.S. Patent and Trademark Office

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Genetic Therapy, Inc.

2. Name and address of receiving party(ies)

Name: Cell Genesys, Inc.

Internal Address: _____

Additional name(s) of conveying party(ies) attached? ☐ Yes ☐ No

3. Nature of conveyance:

☒ Assignment

☐ Merger

☐ Security Agreement

☐ Change of Name

☐ Other _____

Street Address: 500 Forbes Blvd.

City: SSF State: CA Zip: 94080

Execution Date: 10/1-2/03

Additional name(s) & address(es) attached? ☐ Yes ☐ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: N/A

A. Patent Application No.(s) See attached

B. Patent No.(s) See attached

Additional numbers attached? ☒ Yes ☐ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Cell Genesys, Inc.

Internal Address: Intellectual Property

Street Address: 500 Forbes Blvd.

City: SSF State: CA Zip: 94080

6. Total number of applications and patents involved: 15

7. Total fee (37 CFR 3.41).....\$ 600.00

☐ Enclosed

☒ Authorized to be charged to deposit account

8. Deposit account number:

031184

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9. Signature.

Linda R. Judge, Esq., Reg. No. 42,702

Name of Person Signing


Signature

11/25/02

Date

Total number of pages including cover sheet, attachments, and documents: 27

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Washington, D.C. 20231



EXHIBIT A
ASSIGNED APPLICATIONS/PATENTS

DOCKET NUMBER	SERIAL/PATENT NUMBER	FILING/ISSUE DATE	STATUS
GTI 002.0US	08/348,258	11/28/1994	ABANDONED
GTI 002.1US	08/487,992	06/07/1995	ABANDONED
GTI 002.2US	5,998,205	12/07/1999	ISSUED
GTI 002.3US	6,551,587	04/22/2003	ISSUED
GTI 002.4US	10/323,425	12/19/2002	PENDING
GTI 002.5US	10/323,955	12/19/2002	PENDING
GTI 002.6US	10/323,984	12/19/2002	PENDING
GTI 003.0US	08/974,391	11/19/1997	ISSUED
GTI 003.1US	10/602,853	06/24/2003	PENDING
GTI 004.0US	60/270,922	02/23/2001	ABANDONED
GTI 004.1US	60/295,037	06/01/2001	ABANDONED
GTI 004.2US	60/348,670	01/14/2002	ABANDONED
GTI 004.3US	10/081,969	02/22/2002	PENDING
GTI 005.0US	60/270,885	02/23/2001	ABANDONED
GTI 005.1US	10/081,961	02/22/2002	PENDING

ASSIGNMENT

Novartis AG, a corporation organized under the laws of the Swiss Confederation, with a principal business address of Lichtstrasse 35, CH-4056 Basel, Switzerland, for good and valuable consideration, the receipt and adequacy of which is hereby acknowledged, does hereby assign to **CELL GENESYS, INC.**, a corporation organized under the laws of the State of Delaware, with a principal business address of 500 Forbes Boulevard, South San Francisco, California 94080, (hereinafter Assignee), its successors, assigns and legal representatives, all its right, title and interest, which includes the right to and full benefit of such priorities as may now or hereafter be granted to it by local laws or by treaty, including any international convention for the protection of industrial property, in and for all countries of the world, including the United States and its territories and possessions, in and to the invention described in the following:


U.S. Patent Application No. 10/081,961, filed February 22, 2002

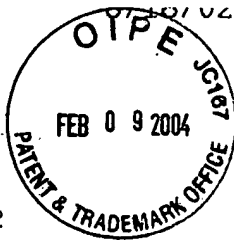
and in and to all Convention and Treaty rights of all kinds, in all countries throughout the world, for all such subject matter, including the right to claim for any such foreign applications and U.S. applications any priority rights to which such applications are entitled under international conventions, treaties or otherwise, and, and in and to, all Letters Patent to be obtained for said subject matter by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(b) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent.

NOVARTIS AG

Dated: October 2, 2003

By 
Arthur Canonica
Patent and Trademark Administrator

By 
Hans Rudolf Haus
Patent and Trademark Administrator



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

AUGUST 16, 2002

PTAS

NOVARTIS CORPORATION
THOMAS HOXIE
PATENT AND TRADEMARK DEPT.
564 MORRIS AVENUE
SUMMIT, NJ 07901-1027

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700016195A

UNITED STATES PATENT AND TRADEMARK OFFICE
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THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 08/16/2002

REEL/FRAME: 012992/0289
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

CLARKE, LORI

DOC DATE: 07/02/2002

ASSIGNOR:

GORZIGLIA, MARIO

DOC DATE: 07/19/2002

ASSIGNOR:

HALLENBECK, PAUL L.

DOC DATE: 05/14/2002

ASSIGNOR:

JAKUBCZAK, JOHN LEONARD

DOC DATE: 07/03/2002

ASSIGNOR:

KALEKO, MICHAEL

DOC DATE: 07/01/2002

ASSIGNOR:

PHIPPS, SANDRINA

DOC DATE: 07/02/2002

ASSIGNEE:

NOVARTIS AG
SCHWARZWALDELLEE 215
BASEL, SWITZERLAND 4058

012992/0289 PAGE 2

SERIAL NUMBER: 10081961
PATENT NUMBER:

FILING DATE: 02/22/2002
ISSUE DATE:

JEFFREY OLSEN, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS